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**Luzerner  
Kantonalbank**

United States Bankruptcy Court  
Southern District of New York  
Lehman Brothers Holdings Claims Proc. Center  
c/o Epiq Bankruptcy Solutions LLC  
FTR Station, P.O. Box 5076  
New York, NY 10150-5076  
United States

Luzerner Kantonalbank AG  
Rechtsdienst & Compliance  
Pilatusstrasse 12  
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MWST-Nr. 439 766

Datum February 12, 2014 DR-Fep  
Telefon direkt 041 206 24 86 Peter Felder  
Telefax direkt 041 206 29 16  
E-Mail peter.felder@lukb.ch

**Lehman Brothers Holdings Inc. - Evidence of Transfer of Claim**  
**Case No. 08-13555 (JMP)**

Dear Sir or Madam,

Enclosed we send you 2 Evidence of Transfer of Claim Form and Correspondence.

Thank you for your attention.

Sincerely yours,

Luzerner Kantonalbank

  
Peter Felder

  
Jörg Gubler

enclosure.



**J. SAFRA SARASIN**



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**EVIDENCE OF TRANSFER OF CLAIM**

**TO: THE DEBTOR AND THE BANKRUPTCY COURT**

For value received, the adequacy and sufficiency of which are hereby acknowledged, **Bank J. Safra Sarasin Ltd** ("**Transferor**") unconditionally and irrevocably transferred to **Luzerner Kantonalbank, Lucerne** ("**Transferee**") all of its right, title, interest, claims and causes of action in and to or arising under or in connection with the portion of its claim (Claim No. 55814-25, arising out of the original Claim No. 55814, a portion of which was transferred from Neue Aargauer Bank AG to the Transferor; cf. Docket Number 23708 with the Docket Date December 23, 2011) in the nominal amount of CHF 50'000 (corresponding to approximately USD 44'250 as of September 15, 2008) including a corresponding portion of the allowed claim amount of USD 54'533.96, related to the securities with International Securities Identification Number listed on Schedule 1 hereto against Lehman Brothers Holdings, Inc. (the "**Debtor**"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "**Bankruptcy Court**").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS EXECUTED this December \_\_, 2013.

Bank J. Safra Sarasin Ltd

  
Patrick Gribi.  
Executive Director

  
Frank Link  
Vice President



**J. SAFRA SARASIN**



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**SCHEDULE 1**

**Lehman Programs Securities Related to Transferred Portion of Claim:**

<b>ISIN</b>	<b>Court Claim</b>	<b>Date Claim Filed</b>	<b>Issuer</b>	<b>Nominal Amount/Quantity of Claim related to Security to be transferred</b>
CH0036891387	55814-25 (arising out of a transfer of a portion of the original Claim No. 55814)	October 29, 2009 (filing date of the original Claim No. 55814)	Lehman Brothers Securities N.V., Curaçao	CHF 50'000 (corresponding to approximately USD 44'250 as of September 15, 2008)



**J. SAFRA SARASIN**



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Mr.  
Daniel Rüegg  
Tivolistrasse 1  
6006 Luzern

Zurich, 23, December 2013

Your contact: Martina Baer / T: +41 58 317 35 92

**Daniel Rüegg, custody account 6. 09272.9 60 00**  
**Transfer of Lehman position to Luzerner Kantonalbank, Lucerne**

Dear Mr. Rüegg

We are writing to you regarding the abovementioned transfer you requested of CHF 50'000 in 12.5% LBr-Shs Bskt Rev.CV Cert.16.3.9-In Def-(3689138) (ISIN CH0036891387) and of NOK 125'000 in 16% LBr-Basket Shares Rev.CV 05.10.08-In Def.-(3419039) (ISIN XS0322789578). We are now able to confirm that the orderly transfer of the securities to your custody account with Luzerner Kantonalbank, Lucerne ("LKB, Lucerne") has been arranged.

At the same time we wish to point out that this orderly transfer is not synonymous with the change of registration of the claims, which were filed with the New York bankruptcy court handling the Lehman Brothers Holdings Inc insolvency case. Please be aware that the transfer must still be formally notified/registered with the New York bankruptcy court by the party to which the claim is being transferred (in your case LKB, Lucerne). To this end, please find enclosed the relevant documents "Evidence of Transfer of Claim", which the LKB, Lucerne will need as proof in order to officially transfer the claim with the bankruptcy court in New York from Bank J. Safra Sarasin Ltd to LKB, Lucerne.

Please note that both of the abovementioned positions are registered with the New York bankruptcy court with one claimnumber 55814-25 (the "Claim"), arising out of the original claim no. 55814, a portion of which was transferred from Neue Aargauer Bank AG to Bank J. Safra Sarasin Ltd (cf. Docket Number 23708 with the Docket Date December 23, 2011). We kindly ask you to make sure that LKB, Lucerne registers the transfer of the entire Claim in question (Claim 55814-25) with the bankruptcy court in New York in good time, otherwise there is no guarantee that LKB, Lucerne will receive the relevant payments in your favour from the insolvency of Lehman Brothers Holdings Inc. Please also point LKB, Lucerne to the fact, that LKB, Lucerne will have to a) submit the notification in regard to the transfer of both positions of the Claim and both "Evidence of Transfer of Claim"-documents as one and in one single accompanying letter;



**J. SAFRA SARASIN**



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b) emphasize, that the entire Claim 55814-25 will be transferred to LKB, Lucerne and no portion whatsoever of this Claim will remain with Bank J. Safra Sarasin Ltd.

We also wish to point out that the mandate granted to the Bank for "Support regarding clients' claims in bankruptcy or insolvency proceedings of companies in the Lehman Brothers Group" is terminated with immediate effect and that Bank J. Safra Sarasin. Ltd will not be taking any further legal action.

Thank you for noting the contents of this communication

Yours sincerely  
Bank J. Safra Sarasin Ltd.

Anna Nemere  
Vice President

Martina Baer  
Vice President

Encl.: as mentioned